

Lender Compliance Audit Information Pages

OIG Audit Guide: Determined based on indication of type of audit being submitted.

Compliance Audit Information Page:

1. Does your audit cover multiple lenders? Yes or No. *If yes, the user will enter the applicable lenders covered in a table.*
2. Indicate the Period Audited (mm/dd/yyyy).
3. Review your auditor information. *Users will enter information regarding auditor firm/name of auditor for audit being submitted.*

Enter Auditor's TIN:

- Auditor's Name*:**
- Audit Firm Name*:**
- Audit Firm Address*:** (Address 1, Address 2, City, State, Country)
- Phone #*:**
- Fax # (Optional):**
- Email*:**

4. Does this Compliance audit contain any findings related to the Federal Family Education Loan Program (FELP)?

Completeness Checklist Page:

1. List of items required based on type of submission, Standard, Alternative and Combined engagements.

Field Name	Standard Engagemen	Alternative Engagements	Combined Engagements
Examination-Level Report on Compliance With Specified Requirements (Attachment 1):	X		X
Schedule of Findings:	X		X
Summary Schedule on the Resolution of Prior Engagement Findings:	X		X
Lender and Auditor Information Sheet (Attachments 4)	X	X	X
Management Representations and Management Assertions (Attachments 5)	X	X	X
Corrective Action Plan:	X	X	X
Any Separate report on fraud, illegal acts, or abuse submitted under the procedures in 2.1;	X	X	X
Any managements Letters issued to the lender concerning the engagements	X	X	X
Agreed-Upon procedures Report (Attachment 2);		X	X
Agreed-Upon procedures and Results (Attachment 3);		X	X
Lender Servicer Attestation Engagements Report;		X	X
Summary Schedule on the Resolution of Prior Engagement Findings; FELP Program Lender Compliance Attestation Engagement Guide January 2011 page 46 of 66		X	

2. Contact Information/Additional Information:

Please let us know who to contact with questions regarding this submission?

President CEO/Contact:

Name:

Email:

Phone:

Firm and CPA Contact:

Firm Name: **Auditor Name:** **Email:** **Phone:**

Enter any additional notes:

Upload Attachments Page: *User will attach required documents as required by submission:*

Field Name	Standard Engagemen	Alternative Engagements	Combined Engagements
Compliance Audit	Required	Required	Required
Corrective Action Plan	Optional	Required	Optional
Lender Servicer Attestation	X	Required	Required
Other	Optional	Optional	Optional

Submit Page – Submit to ED.

Uniform Guidance: Determined based on indication of type of audit being submitted.

Compliance Audit Information Page:

1. Is this submission covering multiple lenders? Yes or No. *If yes, user will enter the applicable lenders covered in a table.*
2. Indicate the Period Audited (mm/dd/yyyy).
3. Review your auditor information. *Users will enter information regarding auditor firm/name of auditor for audit being submitted.*

Enter Auditor's TIN:

- Auditor's Name*:
- Audit Firm Name*:
- Audit Firm Address*: (Address 1, Address 2, City, State, Country)
- Phone #*:
- Fax # (Optional):
- Email*:

4. Was the Student Federal Family Education Loan Program (FELP) audited as the major program?
5. Does this A-133 report contain any findings related to the Federal Family Education Loan Program FELP?
6. Opinion Type. User will select Opinion type from list provided.

Completeness Checklist Page:

1. List of items required to be included in audit.
2. Contact Information/Additional Information:

Please let us know who to contact with questions regarding this submission?

President CEO/Contact: Name:	Email:	Phone:	
Firm and CPA Contact: Firm Name:	Auditor Name:	Email:	Phone:

Enter any additional notes:

Upload Attachments Page: *User will attach required documents as required by submission:*

Compliance Audit
Corrective Action Plan (if required)
Other (Optional)

Submit Page – Submit to ED.